

SECTION 2. FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Evelyn et al. Attorney Docket: 2955/103
 Serial No: 09/668,255 Art Group Unit: 3624
 Date Filed: September 21, 2000 Examiner Name: Colbert, E.
 Invention: System and Method for Pricing and Allocation of Commodities or Securities

**LIST OF PATENTS AND PUBLICATIONS FOR
 APPLICANT'S SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

U.S. PATENT DOCUMENTS					
Examiner Initials	Reference Number	Document Number	Issue Date	Inventor	Class/Subclass
	91	US 2001/0034692 A1	10/25/01	McRedmond	
	92	US 6,629,081 B1	9/30/03	Hambrecht, et al.	705/37

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Reference Number	Country Code	Document Number	Publication Date	Patentee or Applicant	Class/Subclass
	93	WO	00/51047 A2	08-2000	Cinelli et al.	G06F 17/60

OTHER DOCUMENTS			
Examiner Initials	Reference Number	Author	Title of Article, Title of Journal, Volume Number, Page Numbers, Date
	94	Sarah Stirland	"Wall Street Is Rattled by Software That Can Remake Competitive Deals", The Bond Buyer, Aug. 21, 1996, pg. 1
	95	Fujishima, Yuzo, et al.,	"Speeding Up Ascending-Bid Auctions", Stanford University, Stanford, CA, pgs. 1-6.
	96	Milgrom, Paul	"Putting Auction Theory to Work: The Simultaneous Ascending Auction", Dept. of Economics, Stanford University, December 8, 1997, revised April 21, 1999, pgs. 1-25.
	97		U.S. Securities and Exchange Commission, Proposed Rule: Defining the Term "Qualified Purchaser" under the Securities Act of 1933, Release No. 33-8041; File No. S7-23-01
	98	Epstein, Lee	"Newcomers Guide to the Dutch Auction Process (Securities Auctions)", <u>Corporate Cashflow Magazine</u> , Vol. 11, No. 3, pg. 42(2), March 1990.

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	99	F. T. McCarthy	<u>"PopNet Float Shows up the Flaws," The Financial News, February 7, 2000, 2 pages</u>
	100	John M. Dalton, Editor	<u>"The Initial Public Offering," How the Stock Market Works, John M. Dalton, Editor, 1993, NYIF Corp., Second Edition, pgs. 33-60.</u>
	101	John Downes and John Elliot Goodman	<u>Dictionary of Finance and Investment Terms, 1998, Fifth Edition, pgs. 132, 243, 600, 275.</u>
	102	David Landes	Letter dated August 16, 1996, from David V. Landes to Dan Veres, with attachment
	103		IPO: Robertson, Hambrecht tap into the Net

Examiner Signature: /Daniel Greene/Date Considered: 03/16/2008

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation *if not* in conformance and not considered. Include copy of this form with next communication to applicant.

Section 6. Copies of Listed Information Items Accompanying This Statement

NOTE: 37 C.F.R. section 1.98(a)(2) requires that any information disclosure statement filed under section 1.97 shall include: "A legible copy of: (i) Each U.S. and foreign patent; (ii) Each publication or that portion which caused it to be listed; and (iii) All other information or that portion which caused it to be listed, except that no copy of a U.S. patent application need be included..."

NOTE: The wording in section 1.98(a)(2)(iii) makes it clear that the requirement to submit a copy of each item of information listed in an information disclosure statement does not apply to the citation of a U.S. patent application. Notice of January 9, 1992, 1135 O.G. 13-25, at 14.

Legible copies of all items listed in Forms PTO/SB/08A and 08B (substitute for Form PTO-1449) accompany this information statement.

(complete the following, if applicable)

☒ Exception(s) to above:

☐ Items in prior application, from which an earlier filing date is claimed for this application, as identified in Section 4.

☐ Cumulative patents or publications identified in Section 5.

U.S. patent citations are not included pursuant to the United State Patent and Trademarks Office's September 21, 2004 waiver of the copy requirement in 37 CFR 1.98 for cited pending U.S. patent citations when the patent citations are available in the USPTO's IFW system.

Section 10. Identification of Person(s) Making This Supplemental Information Disclosure Statement

The person making this certification is

(check each applicable item)

- (a) ☐ the inventor(s) who signs below

SIGNATURE OF INVENTOR

(type name of inventor who is signing)

- (b) ☐ an individual associated with the filing and prosecution of this application (37 C.F.R. section 1.56(c))

SIGNATURE OF INVENTOR

(type name of inventor who is signing)

- (c) ☒ the practitioner who signs below on the basis of the information:

(check each applicable item)

☐ supplied by the inventor(s).

☐ supplied by an individual associated with the filing and prosecution of this application. (37 C.F.R. section 1.56(c)).

☒ in the practitioner's file.

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02955/00001 370628.1



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